

**MONTANA STATE PLAN & POLICY MANUAL  
CHAPTER FOUR**

Policy Number 4.17  
Records Management  
Effective/Revised Date: October 1, 2012

**Title:** Records Management

**Purpose**

To ensure local agencies are following a standardized records retention procedure.

**Authority**

7 CFR 246.25(a)(1) & (2)

**Policy**

Local agencies will manage the records within their office in accordance with the procedures outlined below.

**I. Unless otherwise noted, records must be managed as follows:**

**A. Post-Automation Records**

<b>Record Name</b>	<b>For How Long</b>	<b>Confidentiality</b>	<b>Safekeeping Required?</b>	<b>Deadline for Submission to State WIC Agency</b>
Certification Form and Eligibility Statement	4 years + 4 years in retention	Yes	Yes	N/A
Family Folders	4 years + 4 years in retention	Yes	Yes	N/A
Participant Complaints	4 years + 4 years in retention	Yes	Yes	Notify as occurring - Process within 30 days
Participant Fraud Form	4 years + 4 years in retention	Yes	Yes	When Reported
Food Instrument Stubs	4 years + 4 years in retention	Yes	Yes	N/A
WIC Benefits	4 years + 4 years in retention	No	Yes	N/A
Voided WIC Benefits	4 years + 4 years in retention	Yes	Yes	N/A
Beginning of Day Reports	4 years + 4 years in retention	Yes	Yes	N/A
End of Day Reports	4 years + 4 years in retention	Yes	Yes	N/A
Retailer Complaint Form	4 years + 4 years in retention	Yes	Yes	When Reported
Contract Application/ Budget Request	4 years + 4 years in	No	No	April 30

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	retention			
Nutrition Education Plan	4 years + 4 years in retention	No	No	With annual contract application
Outreach and Referral Plan	4 years + 4 years in retention	No	No	With annual contract application
List of Homeless Facilities/ Institutions Meeting Criteria in Policy 5-5	4 years + 4 years in retention	No	No	With annual contract application
CLIA Information (those under the State WIC Office's Certificate)	4 years + 4 years in retention	No	No	With annual contract application

**B. Automation Records**

<b>Record Name</b>	<b>For How Long</b>	<b>Confidential</b>	<b>Safekeeping Required?</b>	<b>Deadline for Submission to State WIC Agency</b>
Contracts with DHES/ DPHHS	4 years + 4 years in retention	No	No	Before June 30
Expenditure Reports (with supporting documentation)	4 years + 4 years in retention	No	No	28 <sup>th</sup> of following month
Inventory Worksheet	4 years + 4 years in retention	No	No	When changes occur
SA Monitoring Reports	4 years + 4 years in retention	No	No	Respond within 60 days after report
WIC Agency Correspondence	4 years + 4 years in retention	No	No	N/A
Self-Monitoring Reports	4 years + 4 years in retention	No	No	N/A
L.P. Evaluation of S.A.	4 years + 4 years in retention	No	No	March 1
General Program Complaints	4 years + 4 years in retention	Yes	Yes	When reported
VOC Cards	4 years + 4 years in retention	No	Yes	N/A
VOC Log	4 years + 4 years in retention	Yes	Yes	N/A
Signature/Initial List	4 years + 4 years in retention	No	Yes	At monitoring

**C. Destruction of Records**

1. Records deemed eligible for destruction per the above schedule, will be either shredded or incinerated.
2. If shredding or incineration is done by someone other than WIC staff, the destruction needs to be witnessed by WIC staff.